

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE CITATION  
(Use several sheets if necessary)

ATTY. DOCKET NO.  
114596-04-4002

SERIAL NO.  
09/348,3

APPLICANT

John S. Yates, Jr., et al.

MAY 11 2004

FILING DATE  
July 7, 1999

GROUP ART UNIT  
2122

Technology Center 2100

### U.S. PATENT DOCUMENTS

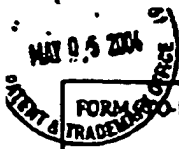
EXAMINER NOTES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
C.D.	5,673,407	09/30/1997	Poland	395	375	Mar. 8, 1994
C.D.	5,685,009	11/04/1997	Blomgren	395	800	Nov. 29, 1995
C.D.	5,715,421	02/03/1998	Akiyama	711	213	Oct. 16, 1992
C.D.	5,721,927	02/24/1998	Baraz	395	705	Aug. 7, 1996
C.D.	5,732,238	03/24/1998	Sarkozy	711	135	Jun. 12, 1996
C.D.	5,742,780	04/21/1988	Caulk	395	382	Jan. 16, 1997
C.D.	5,754,878	05/19/1998	Asghar	395	800	Mar. 18, 1996
C.D.	5,764,947	06/09/1998	Murphy	703	20	Mar. 2, 1994
C.D.	5,768,500	6/16/1998	Agrawal	714	47	Jun. 20, 1994
C.D.	5,774,287	06/30/1998	Leonhardt	710	33	Dec. 9, 1994
C.D.	5,774,686	06/30/1998	Hammond	395	385	Jun. 7, 1995
C.D.	5,781,758	07/14/1998	Morley	395	500	Mar. 23, 1995
C.D.	5,781,792	07/14/1998	Asghar	395	800.35	Mar. 18, 1996
C.D.	5,784,640	07/21/1998	Asghar	395	800.35	Mar. 18, 1996
C.D.	5,790,824	08/04/1998	Asghar	395	385	Mar. 18, 1996
C.D.	5,794,068	08/11/1998	Asghar	395	800.35	Mar. 18, 1996
C.D.	5,796,939	08/18/1998	Berc	395	184.01	Mar. 10, 1997
C.D.	5,802,272	09/01/1998	Sitas	395	183.21	Dec. 19, 1994
C.D.	5,802,337	09/01/1998	Fielden	712	216	Dec. 29, 1995
C.D.	5,802,373	09/01/1998	Yates	717	139	Jan. 29, 1996
C.D.	5,805,877	09/08/1998	Black	395	586	Sep. 23, 1996
C.D.	5,812,864	09/22/1998	McCoy	703	26	Dec. 6, 1995
C.D.	5,815,720	9/29/1998	Buzbee	717	158	Mar. 15, 1996
C.D.	5,819,064	10/06/1998	Razdan	703	27	Nov. 8, 1995
C.D.	5,838,962	11/17/1998	Larson	395	586	Apr. 9, 1997
C.D.	5,838,978	11/17/1998	Buzbee	395	705	Oct. 9, 1996
C.D.	5,847,955	12/08/1998	Mitchell	700	86	Jun. 23, 1997
C.D.	5,854,913	12/29/1998	Goetz	712	210	Jun. 10, 1997
C.D.	5,870,763	02/09/1999	Lomet	707	202	Mar. 10, 1997
C.D.	5,884,057	03/16/1999	Blomgren	395	375	May 8, 1995
C.D.	5,901,308	05/04/1999	Cohn	712	244	Mar. 18, 1996

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Charles C. Don

DATE CONSIDERED

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FORM 1449 PATENT & TRADEMARK OFFICE	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. 114596-04-4002	SERIAL NO. 09/348,317
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)		APPLICANT John S. Yates, Jr. et al.	
		FILED DATE July 7, 1999	GROUP ART UNIT 2122

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EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILED DATE OF APPROPRIATE
CD	5,903,751	05/11/1999	Hoyt	395	585	Sep. 16, 1997
CD	5,903,760	05/11/1999	Farber	395	707	Jun. 27, 1996
CD	5,905,855	05/18/1999	Klaiber	395	183.07	Feb. 28, 1997
CD	5,911,073	06/08/1999	Manson	395	701	Dec. 23, 1997
CD	5,935,220	08/10/1999	Lumpkin	710	5	Aug. 9, 1996
CD	5,941,827	02/1996	Holtey	711	163	Jan. 14, 1994
CD	5,949,415	09/07/1999	Lin	345	335	Jun. 16, 1997
CD	5,958,061	09/28/1999	Kelly	714	1	Jul. 24, 1996
CD	5,960,198	Sep. 28, 1999	Roediger	717	130	Mar. 19, 1997
CD	5,968,162	10/19/1999	Yard	712	203	Apr. 2, 1996
CD	5,999,736	12/07/1999	Gupta	717	158	May 9, 1997
CD	6,002,872	12/14/1999	Alexander	717	127	Mar. 31, 1998
CD	6,003,038	12/14/1999	Chen	707	103R	March 31, 1997
CD	6,005,551	12/21/1999	Osborne	345	161	Apr. 25, 1997
CD	6,006,033	12/21/1999	Heisch	717	158	Aug. 15, 1994
CD	6,006,277	12/21/1999	Talati	709	313	Jan. 26, 1996
CD	6,011,908	01/04/2000	Wing	395	182.17	Dec. 23, 1996
CD	6,014,735	01/11/2000	Chennupati	712	210	Mar. 31, 1998
CD	6,021,484	02/01/2000	Park	712	41	Nov. 14, 1997
CD	6,021,489	02/01/2000	Poplingher	712	239	Jun. 30, 1997
CD	6,026,478	02/15/2000	Dowling	712	24	Dec. 23, 1997
CD	6,029,004	02/22/2000	Bortnikov	717	158	Mar. 17, 1997
CD	6,032,247	02/29/2000	Asghar	712	35	Nov. 14, 1997
CD	6,035,393	03/07/2000	Glew	712	237	May 7, 1998
CD	6,044,220	03/28/2000	Breternitz	717	139	Feb. 25, 1997
CD	6,044,221	03/28/2000	Gupta	717	151	May 9, 1997
CD	6,047,363	04/2000	Lewchuk	711	213	Oct. 14, 1997
CD	6,052,771	4/18/2000	Heller	712	34	Jan. 20, 1998
CD	6,070,009	05/30/2000	Dean	717	130	Nov. 26, 1997
CD	6,076,144	6/13/2000	Peled	711	125	Dec. 1, 1997
CD	6,081,665	06/27/2000	Nilsen	717	116	Dec. 19, 1997

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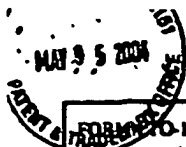
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<b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)		APPLICANT John S. Yates, Jr., et al.				
		FILING DATE July 7, 1999	GROUP ART UNIT 2122			
<b>U.S. PATENT DOCUMENTS</b>						
EXAMINER DETAIL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE OF APPROPRIATE
CD	6,081,890	06/27/2000	Datta	713	1	Nov. 30, 1998
CD	Re. 36,766	07/04/2000	Krauskopf	711	203	Aug. 21, 1992
CD	6,119,204	9/12/2000	Chang	711	141	Jun. 30, 1998
CD	6,141,683	10/31/2000	Kraml	709	220	Jan. 30, 1998
CD	6,154,857	11/28/2000	Mann	714	30	Dec. 17, 1997
CD	6,157,970	12/05/2000	Gafken	710	27	Sep. 24, 1997
CD	6,175,957	01/16/2001	Ju	717	156	Dec. 9, 1997
CD	6,195,748	02/27/2001	Chryso	712	227	Nov. 26, 1997
CD	6,202,205	03/13/2001	Saboff	717	9	Jul. 21, 1998
CD	6,212,493	04/03/2001	Huggins	703	22	Dec. 1, 1998
CD	6,237,073	05/22/2001	Dean	711	202	Nov. 26, 1997
CD	6,240,526	05/29/2001	Petivan	714	11	Oct. 27, 1999
CD	6,253,215	06/26/2001	Agesen	707	206	Aug. 17, 1998
CD	6,256,728	07/03/2001	Win	712	236	Jul. 6, 1998
CD	6,260,191	07/10/2001	Santhanam	717	9	Apr. 7, 1997
CD	6,295,644	09/25/2001	Hsu	717	9	Aug. 17, 1999
CD	6,298,477	10/02/2001	Kessler	717	143	Oct. 30, 1998
CD	6,304,948	10/16/2001	Motoyama	711	162	Oct. 6, 1998
CD	6,308,318	10/23/2001	Krishnaswamy	717	139	Oct. 7, 1998
CD	6,308,321	10/23/2001	Schooler	717	132	Dec. 11, 1998
CD	6,336,135	01/01/2002	Niblett	709	215	Nov. 19, 1998
CD	6,351,784	02/26/2002	Neal	710	308	Dec. 28, 1998
CD	6,363,336	03/26/2002	Banning	703	26	Oct. 13, 1999
CD	6,374,367	03/26/2002	Dean	714	37	Nov. 26, 1997
CD	6,374,369	04/16/2002	O'Donnell	714	38	May 21, 1999
CD	6,381,628	04/30/2002	Hunt	709	201	Nov. 20, 1998
CD	6,381,735	04/30/2002	Hunt	717	158	Nov. 20, 1998
CD	6,397,379	05/28/2002	Yates	717	140	Oct. 28, 1999
CD	6,405,327	06/11/2002	Sipple	714	39	Aug. 19, 1998
CD	6,453,292	09/17/2002	Ramaswamy	704	235	Oct. 28, 1998
CD	6,463,582	10/08/2002	Lethin	717	158	Oct. 21, 1998
EXAMINER	Charul C-Dm		DATE CONSIDERED 12/14/06			

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FORM PTO-1449 TRADE	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY DOCKET NO. 114596-04-4002	SERIAL NO. 09/348,317
<b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)		APPLICANT John S. Yates, Jr., et al.	
		FILING DATE July 7, 1999	GROUP ART UNIT 2122

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EXAMINER NOTES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
CD	6,470,442	10/22/2002	Arimilli	712	32	Jul. 30, 1999
CD	6,470,492	10/22/2002	Bala	717	128	May 14, 1999
CD	6,473,846	10/29/2002	Melchior	711	170	Jun. 16, 2000
CD	6,477,683	11/05/2002	Killian	716	1	Feb. 5, 1999
CD	6,480,862	11/12/2002	Gall	707	3	Apr. 23, 1999
CD	6,496,922	12/17/2002	Borrill	712	209	Oct. 31, 1994
CD	6,549,930	04/15/2003	Chrysos	709	104	Nov. 26, 1997
CD	6,557,094	04/29/2003	Pechanek	712	209	Sep. 28, 2001
CD	6,591,414	07/08/2003	Hibi	717	151	Oct. 3, 1997
CD	6,631,518	10/07/2003	Bortnikov	717	158	Mar. 19, 1997

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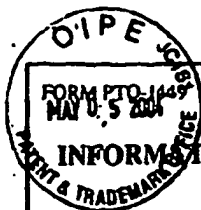
	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
CD	EP 0 324 308 Larsen	07/19/1989	EPO	G06F	9/30		
CD	WO 97/50031 Farber	12/31/1997	PCT/US	G06F	9/455		
CD	WO 98/13740 Wing	04/02/1998	PCT/US	G06F			
CD	WO 98/28689 Wing	07/02/1998	PCT/US	G06F	11/00		
CD	WO 98/38575 Klaiber	09/03/1998	PCT/US	G06F	11/00		
CD	WO 98/59292 Cmelik	12/30/1998	PCT/US	G06F	9/45		
CD	WO 99/03037 Kelly	01/21/1999	PCT/US	G06F	11/00		
CD	WO 99/08188 Kelly	02/18/1999	PCT/US	G06F	11/00		
CD	WO 99/08191 Kelly	02/18/1999	PCT/US	G06F	12/00		

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	Ammons, Ball and Larus: Exploiting Hardware Performance Counters with Flow and Context Sensitive Profiling, Proceedings of the ACM SIGPLAN 1997 Conference on Programming Language Design and Implementation, pp. 85-96 (1997)
	T.M. Conte, et al., "Hardware based profiling: An effective technique for profile-driven optimization," International Journal of Parallel Programming, vol. 24, no. 2 (Feb. 1996)
EXAMINER	Charles C. Dr.
DATE CONSIDERED	12/14/04



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<b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)		APPLICANT John S. Yates, Jr., et al.	FILING DATE July 7, 1999	
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, Etc.)</b>				
CD		T.M. Conte, et al., "Accurate and practical profile-driven compilation using the profile buffer," Proceedings of the 29 <sup>th</sup> Annual International Symposium on Microarchitecture, Paris, France, pp. 36-45 (Dec. 1996)		
CD		T.M. Conte, et al., "Using branch handling hardware to support profile-driven optimization," Proceedings of the 27 <sup>th</sup> Annual International Symposium on Microarchitecture San Jose, CA (Dec. 1994)		
CD		J.S. Cox et al., "Commercializing profile-driven optimization," Proceedings of the 28 <sup>th</sup> Hawaii International Conference on System Sciences, vol. 1 Maui, HI, pp. 221-228 (Jan. 1995)		
CD		Dean, ProfileMe: Hardware Support for Instruction-Level Profiling on Out-of-Order Processors," IEEE 1997, pp. 292-302		
CD		Linda Ceppert et al., Transmeta's Magic Show, IEEE Spectrum, vol. 37 no. 5, pp. 26-33 (May 2000)		
CD		R.E. Hank, et al., Proceeding of the 28 <sup>th</sup> Annual International Symposium on Microarchitecture, pp. 158-168 (Dec. 1995)		
CD		Hollingsworth, Critical Path Profiling of Message Passing and Shared-Memory Programs, IEEE Transactions on Parallel and Distributed Systems vol. 9, no. 10, pp. 1029-1040 (October 1998)		
CD		Intel Corporation, Intel Processor Family Developer's Manual (1997), pages 1-1 to 1-6, 2-1 to 2-20		
CD		Intel Corporation, Intel Processor Family Developer's Manual (1997), vol. 3 (Architecture and Programming Manual), pages 3-1 to 3-3, 3-10 to 3-13, 12-1 to 12-27, 14-1 to 14-30		
CD		Jones, Puzzling with Microcode, ACM SIGARCH Computer Architecture News, vol. 11, no. 5, pp. 8-12 (1983)		
CD		Kavi et al., A Performability Model for Soft Real-Time Systems, IEEE Proceedings of the 27th Annual Hawaii International Conference on System Sciences, pp. 571-579 (1994)		
CD		Magnusson and Werner, Efficient Memory Simulation in SimICS, Proceedings of the 28th Annual Simulation Symposium, IEEE, pp. 62-73 (1995).		
CD		K.N.P. Menezes, "Hardware-based profiling for program optimization," Ph.D. thesis, Department of Electrical and Computer Engineering, North Carolina State University, Raleigh, North Carolina (1997)		
CD		Mueller, Rustagi and Baker: MiThOS - A Real-Time Micro-Kernel Threads Operating System, IEEE Real-Time Systems Symposium 1995: pp. 49-55 (1995)		
CD		Park et al., Evaluation of Scheduling Techniques on a SPARC-Based VLIW Testbed, Proceedings of the 30th annual ACM/IEEE international symposium on Microarchitecture, pp. 104-113 (1997)		
CD		Parkinson and Parameswaran, Profiling in the ASP Codesign Environment, Proceedings of the 8th International Symposium on System Synthesis, Cannes, France, p.128-133 (Sept. 1995)		
CD		Rizvi et al., Execution-Driven Simulation of a Superscalar Processor, IEEE Proceedings of the 27th Annual Hawaii International Conference on System Sciences, pp. 185-194 (1994)		
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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
C.D.	4,575,797	03/11/1986	Gruner	364	200	May 22, 1981
C.D.	4,636,940	01/1987	Goodwin	717	128	Dec. 20, 1985
C.D.	4,750,112	06/07/1988	Jones	364	200	Feb. 10, 1984
C.D.	5,155,835	10/13/1992	Belsan	711	114	Nov. 19, 1990
C.D.	5,168,557	12/01/1992	Shibuya	712	207	Sep. 21, 1989
C.D.	5,241,664	08/31/1993	Ohba	711	121	Jan. 7, 1991
C.D.	5,241,638	08/31/1993	Mork	711	207	Aug. 12, 1995
C.D.	5,301,287	04/05/1994	Herrell	711	202	Feb. 16, 1993
C.D.	5,307,504	04/26/1994	Robinson	395	800	Mar. 7, 1991
C.D.	5,339,422	8/16/1994	Brender	714	4	Mar. 7, 1991
C.D.	5,361,340	11/01/1994	Kelly	711	3	Mar. 9, 1993
C.D.	5,386,563	01/31/1995	Thomas	712	228	Oct. 13, 1992
C.D.	5,404,476	04/04/1995	Kadaira	711	207	Mar. 9, 1993
C.D.	5,432,795	07/11/1995	Robinson	371	19	May 15, 1991
C.D.	5,454,117	09/26/1995	Puziol	395	800	Aug. 25, 1993
C.D.	5,483,647	01/09/1996	Yu	713	100	Dec. 17, 1992
C.D.	5,507,028	04/09/1996	Liu	395	375	Jan. 9, 1995
C.D.	5,515,518	06/07/1996	Stiles	395	375	Jul. 5, 1994
C.D.	5,560,013	09/24/1996	Scalzi	717	138	Dec. 6, 1994
C.D.	5,574,927	11/12/1996	Scantlin	395	800	Nov. 12, 1996
C.D.	5,574,929	11/12/1996	Pieterse	712	30	Jun. 30, 1994
C.D.	5,590,309	12/31/1996	Chencinski	395	472	Apr. 1, 1994
C.D.	5,598,546	01/28/1997	Blomgren	712	209	Aug. 31, 1994
C.D.	5,608,886	03/04/1997	Blomgren	395	586	Aug. 31, 1994
C.D.	5,613,118	03/18/1997	Heisch	395	709	Jun. 20, 1994
C.D.	5,628,016	05/06/1997	Kukol	717	140	June 15, 1994
C.D.	5,636,366	06/03/1997	Robinson	395	490	Oct. 30, 1995
C.D.	5,652,869	07/29/1997	Herdeg	703	23	Dec. 28, 1994
C.D.	5,657,474	08/12/1997	Taine	711	163	Nov. 20, 1995
C.D.	5,659,679	08/19/1997	Alpert	395	183.1	May 30, 1995
C.D.	5,659,782	08/19/1997	Senter	712	23	Sep. 16, 1994
C.D.	5,664,159	09/02/1997	Richter	395	500	May 8, 1995

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